

Message Text

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INFO OCT-01 ARA-06 ISO-00 SEC-01 /015 R

DRAFTED BY EB/IFD/OMA:GPBALABANIS

APPROVED BY EB/IFD/OMA:RJRYAN

ARA/CAR:GPALAZZOLO (SUBS)

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R 092040Z JAN 76

FM SECSTATE WASHDC

TO AMEMBASSY NASSAU

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E.O. 11652:N/A

TAGS: EFIN, SEC

SUBJECT: SEC INFORMATION REQUEST

1. SEC IS CONDUCTING AN INVESTIGATION OF THE SALE IN THE UNITED STATES OF UNREGISTERED SHARES OF STOCK OF A COMPANY CALLED DUNCANNON SPIRITS, LTD.

2. THE CERTIFICATES FOR THESE SHARES ARE SIGNED BY THE NAME OF NEVILLE R. DA COSTA AND PURPORT TO HAVE BEEN ISSUED BY A CORPORATION BY THE NAME OF TRUST CORPORATION OF THE BAHAMAS, LTD., ACTING AS TRANSFER AGENT FOR DUNCANNON SPIRITS, LTD. THE LETTERHEAD OF THIS TRANSFER AGENT BEARS THE ADDRESS: P.O. BOX N-7788 NASSAU, BAHAMAS (809 32) 24500.

3. EMBASSY IS REQUESTED TO TRY TO ASCERTAIN WHETHER TRUST CORPORATION OF THE BAHAMAS, LTD. IS A LEGITIMATE BANK OR TRUST COMPANY AND WHETHER IT HAS AN OFFICER NAMED NEVILLE R. DA COSTA WHO ACTUALLY SIGNED THESE CERTIFICATES FOR SHARES OF STOCK.

4. ADDITIONAL INFORMATION THAT HAS BEEN REQUESTED, IF IT
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IS POSSIBLE TO OBTAIN IT, IS THE FOLLOWING:

(1) A COPY OF THE ARTICLES OF INCORPORATION AND OTHER CORPORATE PAPERS FILED BY DUNCANNON SPIRITS, LTD., WITH THE BRANCH OF THE BAHAMIAN GOVERNMENT HAVING JURISDICTION OVER THE INCORPORATION OF NEW CORPORATIONS, IF ANY SUCH PAPERS HAVE BEEN FILED.

(2) A COPY OF THE NASSAU GUARDIAN NEWSPAPER, ISSUE DATED JUNE 17, 1975.

(3) ANY INFORMATION THAT IS AVAILABLE UPON SERVICE OF PROCESS IN THE BAHAMIAN ISLANDS UNDER THE JURISDICTION OF THE GOVERNMENT OF THE BAHAMAS, FOR THE PURPOSE OF INSTITUTING A CIVIL ACTION IN THE UNITED STATES TO ENJOIN FURTHER VIOLATIONS OF THE FEDERAL SECURITIES LAWS.

5. PLEASE SLUG REPLY "PASS SEC WILLIAM TAFT LESH, FOREIGN LIAISON OFFICER, DIVISION OF ENFORCEMENT". KISSINGER

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Message Attributes

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Disposition Authority: morefirh
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